

Rapid Appraisal Tool
for
Health Impact Assessment

A task-based approach

Eleventh iteration

**Commissioned by the Directors of Public Health of
Berkshire, Buckinghamshire, Northamptonshire, and
Oxfordshire**

Supported by the Faculty of Public Health Medicine

Principal tool develop and author: Erica Ison

Institute of Health Sciences

Old Road, Headington

Oxford OX3 7LF

e-mail care of: rosemary.lees@ihs.ox.ac.uk

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Foreword

Health is not merely the concern of the National Health Service (NHS) - there is increasing awareness at all levels of society that policy areas such as education, housing, poverty, and environment all have a key role to play in promoting good health and preventing ill health. But this general understanding of the wider determinants of health does not always translate into formal assessments of the impacts of non-health policy decisions, such as those about local road building or the national food and farming policy, on health.

Although health impact assessment (HIA) is often talked about, it is less often understood. As an approach, HIA has been developed to support people from different backgrounds and in different situations in the assessment of a proposal's potential impacts on health. The tool presented in this document will enable users to understand better the health impacts of a proposal and to apply this information in policy decision-making.

Health impact assessment may be a particularly useful approach at a time of massive structural change in the NHS involving among other things new responsibilities for primary care and new relationships with local government. HIA is rooted in a partnership approach and involves all those who have an interest in the public health, including local health workers, local government personnel, local people and local communities.

The Faculty of Public Health Medicine has been pleased to add its support to this project; this document will be made available on its website. My thanks go to all those involved in the project, and to Erica Ison in particular.

Sian Griffiths
President, Faculty of Public Health Medicine
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Acknowledgements

Steering Group

- | | |
|----------------------------------|--------------------------------------|
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| • Tom Knowland | Oxford City Council |
| • Jane Leaman | Oxfordshire Health Authority |
| • Val Messenger | Oxfordshire Health Authority |
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| • Jane Reed | Milton Keynes Council |

Pilots

<i>Proposal</i>	<i>Lead</i>	<i>Organisation</i>
• Affordable Housing Policy	Tom Knowland	Oxford City Council
• Handyvan Scheme for the Elderly	Judi Downward	Chiltern District Council
• Tenancy Support Officer Scheme for Recently Homeless	Jane Reed	Milton Keynes Council
• SRB ~ Housing Programme	Ben Cave	<i>for</i> London Borough of Newham
• New Settlement and Rapid Transit System	Cheryl France	Cambridge and Huntingdon Health Authority
• SRB ~ Housing	Cheryl France	Cambridge and Huntingdon Health Authority
• Housing Estate ~ Retrospective	Sarah Gee Sobia Chaudhry	Reading Borough Council Berkshire Health Authority
• Healthy Living Centre	Valerie Elliott	Aylesbury Vale District Council
• Food and Health Strategy	Felicity Owen & Iona Lidington	Merton, Sutton & Wandsworth Health Authority
• Air Quality Management Plan	Tom Knowland	Oxford City Council

Acknowledgements of Principal Tool Developer

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I am indebted to every participant who attended a pilot stakeholder workshop ~ they have taught me more than I can say.

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Introduction

What is health impact assessment?

Health impact assessment (HIA) is a combination of procedures or methods by which a policy, program, or project may be judged as to the effects it may have on the health of a population (European Centre for Health Policy, 1999).

The results of HIA are used to change a proposal such that the health of the community or population is protected and improved.

For further information about HIA, refer to Appendix 2.

Context for the tool and supporting process

This tool for HIA, and the process developed to support its application, have been designed and refined for use:

- during a participatory stakeholder workshop
- (mainly) in the context of rapid appraisal
- by a range of stakeholders at a local level – from the public, private and voluntary sectors, including community organisations
- on a range of health and non-health proposals

Coverage of this document

Although there are five main stages in the process of HIA, the text in this document relates to only two of them:

- scoping - the second stage
- appraisal - the third stage

Screening (the first stage of HIA) is not described, although reference is made to the outputs from screening and how they can be used to prepare for and undertake a participatory stakeholder workshop.

Decision-making (the fourth stage of HIA) is not described because it fell outside the terms of the commission. However, decision-making is discussed in the context of its relationship to appraisal, to the outputs of appraisal, and to monitoring and evaluation.

Monitoring and evaluation (the fifth stage of HIA) is not described because it also fell outside the terms of the commission. However, the responsibilities of the Steering Group with respect to establishing the basic requirements for monitoring and evaluation are outlined.

Using this document

A task-based approach has been used to structure the contents of this document and thereby provide practical guidance on how to undertake rapid appraisal based on a participatory stakeholder workshop.

There are seven sections, in which are described groups of tasks that relate to undertaking a participatory stakeholder workshop, as follows:

Section 1 - Scoping;

Section 2 - Workshop administration

Section 3 - Information preparation

Section 4 - Preparation for core workshop tasks

Section 5 - Workshop tasks

Section 6 - Reporting the results

Section 7 - The outcomes of decision-making

To make use of this document, the sections as listed above do not necessarily have to be read in sequence; the potential user can access relevant sections as required.

The personnel needed to undertake a participatory stakeholder workshop

are shown in Table 1, together with their roles and responsibilities. Refer to Table 2 to ascertain the tasks that the various personnel involved in the participatory stakeholder workshop should read. Refer to Schedule 1 for the relationship between key events in the process and the timing of tasks involved in a rapid appraisal based on a participatory stakeholder workshop.

Level of experience required

This text has been written on the assumption that potential users do not necessarily have an in-depth knowledge of HIA nor much experience of undertaking HIA. However, those with some knowledge and/or experience of HIA will find certain sections useful, especially if they have little or no experience of running and/or leading participatory stakeholder workshops for HIA.

The tasks described have been developed for completion by workshop participants who have not necessarily taken part in an HIA before. However, the core workshop tasks have been designed for use at more than one level and can be adapted for participants who do already have some experience of HIA, especially participatory stakeholder workshops. For some tasks, where it is not possible to work at more than one level, alternative tasks have been suggested that would be suitable for participants who have some experience of HIA and therefore a more sophisticated understanding of the process.

Learning by doing

In this document, the need for careful preparation is stressed, especially if usable and useful outputs are to be obtained from the process, however it is important to bear in mind that HIA as a process exemplifies action research and learning by doing. Although some of the tasks described in this document may represent substantial investments in time for various personnel when they are first undertaken, subsequent HIAs will not require the same investment of time for certain tasks because the work done for previous HIAs can be built upon, e.g. information preparation tasks (Section 3).

Inequalities

The impacts of proposal implementation on people suffering from health and other inequalities is addressed throughout the HIA process described in this document - see Sections 1, 3, 4, 5, 6 and 7.

Table 1: Personnel required to undertake a participatory stakeholder workshop together with their roles and responsibilities

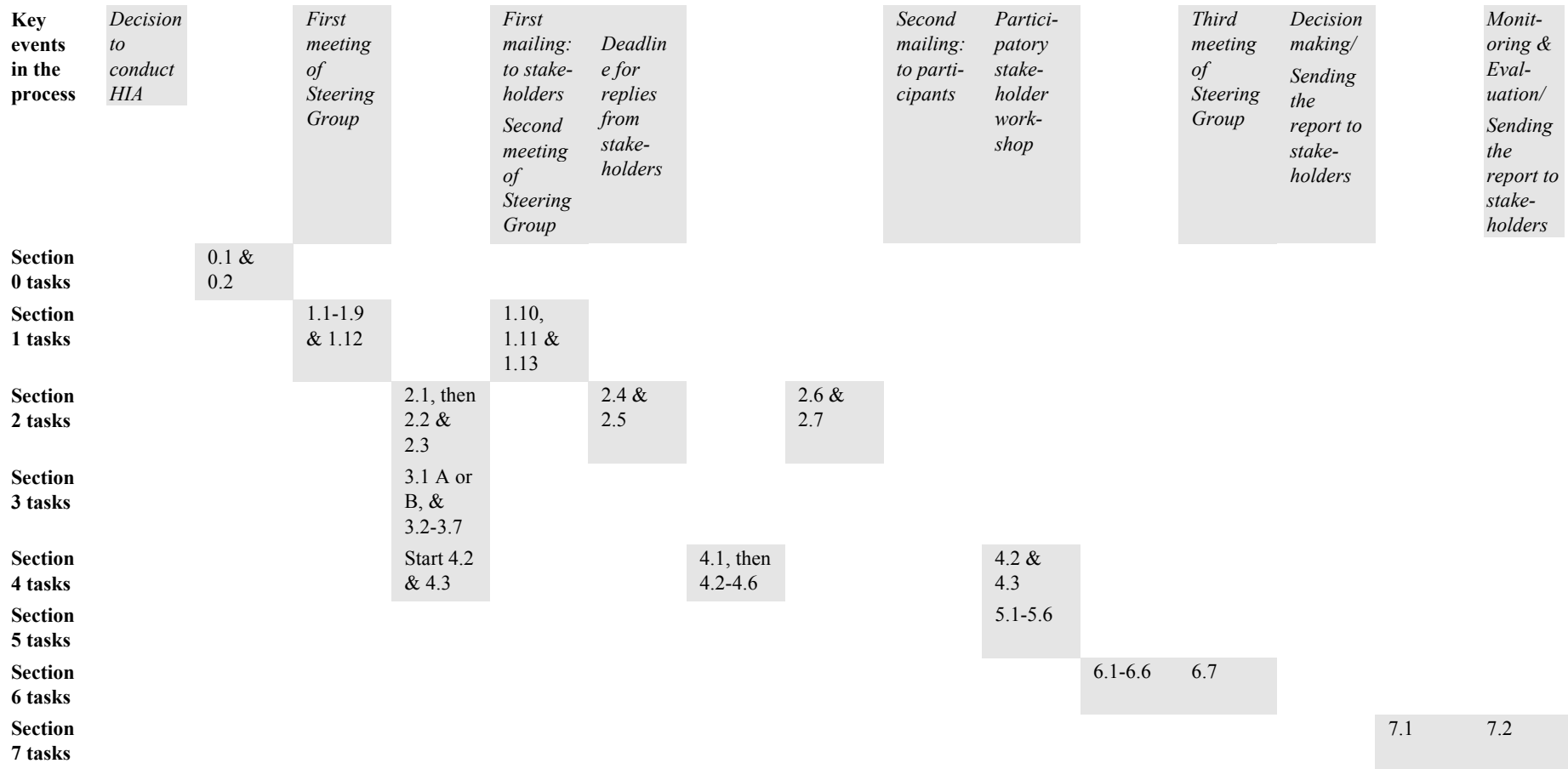
<i>Personnel</i>	<i>Roles and Responsibilities</i>
Steering Group	<ul style="list-style-type: none"> • scoping • participating in stakeholder workshop • if not responsible for decision-making, reviewing the quality of the report before it is sent to decision-makers • if responsible for decision-making, considering the recommendations to change the proposal
Proposal developer(s)	<ul style="list-style-type: none"> • planning and development of the proposal • presentation at participatory stakeholder workshop • monitoring the implementation of recommendations
Assessor(s)	<ul style="list-style-type: none"> • preparing information for participatory stakeholder workshop, including materials to support small group facilitators • facilitation of participatory stakeholder workshop <i>or</i> observation and note-taking at workshop • writing the report/presenting the results of the appraisal • compiling list of recommendations accepted by decision-makers
Main workshop facilitator	<ul style="list-style-type: none"> • facilitation of participatory stakeholder workshop
Main workshop observer	<ul style="list-style-type: none"> • observation and note-taking at participatory stakeholder workshop
Main workshop scribe	<ul style="list-style-type: none"> • note-taking at the participatory stakeholder workshop in support of the main workshop facilitator
Small group facilitators	<ul style="list-style-type: none"> • facilitation of small workgroups for the completion of core workshop tasks
Workshop administrator(s)	<ul style="list-style-type: none"> • administration of participatory stakeholder workshop
Chairperson for the workshop	<ul style="list-style-type: none"> • opening and closing the participatory stakeholder workshop
Stakeholders	<ul style="list-style-type: none"> • people involved in or affected by proposal implementation <ul style="list-style-type: none"> - who are invited to attend the participatory stakeholder workshop - who receive the results of the workshop, and the list of recommendations accepted
Participants	<ul style="list-style-type: none"> • stakeholders who participate in the workshop
Decision-makers	<ul style="list-style-type: none"> • if the Steering Group are the decision-makers, scoping • if not, representation on the Steering Group • participating in stakeholder workshop • considering the recommendations to change the proposal • notification of the recommendations accepted
Information management personnel	<ul style="list-style-type: none"> • preparing information for stakeholder workshop • presentation of information at stakeholder workshop • monitoring and evaluation of indicators and health outcomes

Evaluator(s)	<ul style="list-style-type: none">• evaluation of the HIA process
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Table 2: Tasks for the personnel involved in a participatory stakeholder workshop to read

<i>Personnel</i>	<i>Tasks</i>
Steering Group	<ul style="list-style-type: none"> • Responsible for Tasks 1.1-1.13, and 6.7 • Refer to Tasks 2.1-2.7 for completion of Task 1.7; refer to Tasks 3.1-3.7 for completion of Tasks 1.5 and 1.8; refer to Tasks 5.1-5.6 for completion of Tasks 1.9 and 1.10; refer to Tasks 6.1-6.6 for completion of Task 1.11; refer to Tasks 7.1-7.2 for completion of Task 1.13; refer to Task 1.11 for completion of Task 6.7
<i>If Steering Group is responsible for decision-making</i>	<i>see 'Decision-makers' entry below, and ignore Task 6.7</i>
Proposal developer	<ul style="list-style-type: none"> • Responsible for Task 3.2 • Refer to Tasks to 1.13, and 7.2
Assessor(s)	<ul style="list-style-type: none"> • Responsible for Tasks 3.1 A or B, 3.6, 3.7, Tasks 4.1-4.6, and Tasks 6.1-6.6; <i>if assessor is main workshop facilitator, Tasks 5.1-5.6</i> • Refer to Tasks 7.1, and 7.2
Information management personnel	<ul style="list-style-type: none"> • Tasks 3.3, 3.4 and 3.5 • Refer to Tasks 1.13, 7.1, and 7.2
Workshop administrator(s)	<ul style="list-style-type: none"> • Responsible for Tasks 2.1-2.7 (see also Summary of Tasks for Workshop Administration, p. 2-1) • Refer to Tasks 1.4 and 1.7
Main workshop facilitator	<ul style="list-style-type: none"> • Tasks 5.1-5.6
Small group facilitators	<ul style="list-style-type: none"> • Tasks 5.3-5.6
Main workshop scribe	<ul style="list-style-type: none"> • Tasks 5.2, 5.5 and 5.6
Main workshop observer	<ul style="list-style-type: none"> • Tasks 5.1-5.6 • Refer to Task 1.10
Decision-makers	<ul style="list-style-type: none"> • Tasks 7.1, and 7.2
Evaluator(s)	<ul style="list-style-type: none"> • All sections, but see in particular Task 1.13
Personnel responsible for monitoring and evaluation	<ul style="list-style-type: none"> • Tasks 7.1, and 7.2 • Refer to Task 1.13

Schedule 1: The relationship between the timing of key events and the tasks for a rapid appraisal based on a participatory stakeholder workshop



Major learning points from the piloting process

Although each of the tasks described in this document has been developed as a result of learning through the conduct of pilots, there are several major learning points that deserve to be highlighted:

- The advantages of using a tool for HIA to assess proposals.
- The advantages of running a participatory stakeholder workshop.
- The fundamental importance of preparation in order to achieve good-quality outputs from a participatory stakeholder workshop.

Advantages of using a tool for HIA on proposals

The advantages of using a tool for HIA include the following:

- It provides a structured framework for the investigation and discussion of the health impacts of both health and non-health proposals.
- It improves the quality of the investigation/discussion:
 - it is possible to identify many more impacts than would be the case without it;
 - it highlights the interrelated nature of causes and effects in public health;
 - it clarifies the way in which a proposal needs to be modified to protect and improve health.

Advantages of a participatory stakeholder workshop

The advantages of conducting a participatory stakeholder workshop include the following:

- The added value of being together:
 - learning as individuals and teams across partnerships and within organisations;
 - developing a greater understanding of the different viewpoints and perspectives held by various professions and sectors, including those of the community;
 - being able to make a contribution, and build on the contributions of others;
 - reaching a consensus about priorities for the modification of a proposal.
- An effective use of time to achieve added value for a proposal

Preparation

In this document, the importance of preparation is underlined by the number of tasks that need to be undertaken in preparation for the workshop (see Sections 1-4).